

actual U.S. sales. Such petition shall be submitted within 30 days of the end of the model year to the Manufacturer Operations Division. For the petition to be granted, the manufacturer must establish to the satisfaction of the Administrator that actual production volume is functionally equivalent to actual sales volume.

(3) The manufacturer (or contractor for the manufacturer, if applicable) shall retain all records required to be maintained under this section for a period of eight (8) years from the due date for the applicable end-of-model year report. Records may be retained as hard copy or reduced to microfilm, ADP film, etc., depending on the manufacturer's record retention procedure, provided that in every case all the information contained in the hard copy is retained.

(4) Nothing in this section limits the Administrator's discretion in requiring the manufacturer to retain additional records or submit information not specifically required by this section.

(5) Pursuant to a request made by the Administrator, the manufacturer shall submit to him the information that is required to be retained.

(6) EPA may void ab initio a certificate for a vehicle certified to Tier 1 certification standards or to the respective evaporative and/or refueling test procedure and accompanying evaporative and/or refueling standards as set forth or otherwise referenced in § 86.098-10 for which the manufacturer fails to retain the records required in this section or to provide such information to the Administrator upon request.

[56 FR 25740, June 5, 1991, as amended at 57 FR 31897, July 17, 1992; 75 FR 22978, Apr. 30, 2010; 79 FR 23691, Apr. 28, 2014]

**§ 86.094-14 Small-volume manufacturers certification procedures.**

(a)(1) The small-volume manufacturers certification procedures described in paragraphs (b) and (c) of this section are optional. Small-volume manufacturers may use these optional procedures to demonstrate compliance with the general standards and specific emission requirements contained in this subpart.

(2) To satisfy the durability data requirements of the small-volume manufacturers certification procedures, manufacturers of vehicles (or engines) as described in paragraph (b) of this section may use assigned deterioration factors that the Administrator determines by methods described in paragraph (c)(7)(i)(C) of this section. However, if no deterioration factor data (either the manufacturer's or industry-wide deterioration factor data) are available from previously completed durability data vehicles or engines used for certification, manufacturers of vehicles (or engines) as described in paragraph (b) of this section or with new technology not previously certified may use assigned deterioration factors that the Administrator determines by alternative methods, based on good engineering judgement. The factors that the Administrator determines by alternative methods will be published in an advisory letter or advisory circular.

(b)(1) The optional small-volume manufacturers certification procedures apply to light-duty vehicles, light-duty trucks, heavy-duty vehicles, and heavy-duty engines produced by manufacturers with U.S. sales, including all vehicles and engines imported under the provisions of §§ 85.1505 and 85.1509 of this chapter (for the model year in which certification is sought) of fewer than 10,000 units (Light-Duty Vehicles, Light-Duty Trucks, Heavy-Duty Vehicles and Heavy-Duty Engines combined).

(2) For the purpose of determining the applicability of paragraph (b)(1) of this section, the sales the Administrator shall use shall be the aggregate of the projected or actual sales of those vehicles and/or engines in any of these groupings:

(i) Vehicles and/or engines produced by two or more firms, one of which is 10 percent or greater part owned by another;

(ii) Vehicles and/or engines produced by any two or more firms if a third party has equity ownership of 10 percent or more in each of the firms;

(iii) Vehicles and/or engines produced by two or more firms having a common

## Environmental Protection Agency

## § 86.094-14

corporate officer(s) who is (are) responsible for the overall direction of the companies;

(iv) Vehicles and/or engines imported or distributed by all firms where the vehicles and/or engines are manufactured by the same entity and the importer or distributor is an authorized agent of the entity.

(3) If the aggregated sales, as determined in paragraph (b)(2) of this section are less than 301 units, the manufacturers in the aggregated relationship may certify under the provisions in this section that apply to manufacturers with sales of less than 301 units.

(4) If the aggregated sales, as determined in paragraph (b)(2) of this section are greater than 300 but fewer than 10,000 units, the manufacturers in the aggregated relationship may certify under the provisions in this section that apply to manufacturers with sales from and including 301 through 9,999 motor vehicles and motor vehicles engines per year.

(5) If the aggregated sales, as determined in paragraph (b)(2) of this section are equal to or greater than 10,000 units, then the manufacturers involved in the aggregated relationship will be allowed to certify a number of units under the small-volume engine family certification procedures (reference § 86.094-24(e)) in accordance with the criteria identified in paragraphs (b)(5) (i) through (iii) of this section.

(i) If a manufacturer purchases less than 50 percent of another manufacturer, each manufacturer retains its right to certify 9,999 units using the small-volume engine family certification procedures.

(ii) If a manufacturer purchases 50 percent or more of another manufacturer, the manufacturer with the over 50 percent interest must share, with the manufacturer it purchased, its 9,999 units under the small-volume engine family certification procedures.

(iii) In a joint venture arrangement (50/50 ownership) between two manufacturers, each manufacturer retains its eligibility for 9,999 units under the small-volume engine family certification procedures, but the joint venture must draw its maximum 9,999 units from the units allocated to its parent manufacturers.

(c) Small-volume manufacturers shall demonstrate compliance with the applicable sections of this subpart. The appropriate model year of the applicable sections detailed in paragraphs (c) (1) through (15) of this section shall be determined in accordance with § 86.084-4.

(1) Sections 86.094-1, 86.094-2, 86.094-3, 86.084-4, 86.090-5, 86.078-6, 86.094-7, 86.094-8, 86.094-9, and 86.094-11 are applicable.

(2) Section 86.080-12 is not applicable.

(3) Sections 86.094-13, 86.094-14, 86.084-15, and 86.085-20 are applicable.

(4) Small-volume manufacturers shall include in their records all of the information that EPA requires in § 86.094-21. This information will be considered part of the manufacturer's application for certification. However, the manufacturer is not required to submit the information to the Administrator unless the Administrator requests it.

(5) [Reserved]

(6) Section 86.094-23 is applicable.

(7) Section 86.094-24 is applicable except as noted in paragraphs (c)(7) (i) through (ii) of this section.

(i) Small-volume manufacturers may satisfy the requirements of § 86.094-24 (b) and (c) in accordance with paragraphs (c)(7)(i) (A) through (C) of this section.

(A) *Emission data.* Selecting one emission data test vehicle (engine) per engine family by the worst-case emissions criteria in accordance with paragraph (c)(7)(i)(A) (1), (2), or (3) of this section.

(1) [Reserved]

(2) *Heavy-duty Otto-cycle engines.* The manufacturer shall select one emission data engine first based on the largest displacement within the engine family. Then within the largest displacement the manufacturer shall select, in the order listed, highest fuel flow at the speed of maximum rated torque, the engine with the most advanced spark timing, no EGR or lowest EGR flow, and no air pump or lowest actual flow air pump.

(3) *Heavy-duty diesel engines.* The manufacturer shall select one emission data engine based on the highest fuel feed per stroke, primarily at the speed

of maximum rated torque and secondarily at rated speed.

(B) Testing light-duty vehicles or light-duty truck emission data vehicles at any service accumulation distance of at least 2,000 miles (3,219 kilometers) or, catalyst equipped heavy-duty emission data engines at any service accumulation time of at least 62 hours, or non-catalyst equipped heavy-duty engine emission data engines at any service accumulation time determined by the manufacturer to result in stabilized emissions. The emission performance of the emission data vehicle or engine must be stabilized prior to emission testing.

(C) *Durability data.* Satisfying the durability data requirements by complying with the applicable procedures described in paragraphs (c)(7)(i)(C) (1) through (4) of this section.

(1) Manufacturers with aggregated sales of less than 301 motor vehicles and motor vehicle engines per year may use assigned deterioration factors that the Administrator determines and prescribes. The factors will be the Administrator's estimate, periodically updated and published in an advisory letter or advisory circular, of the 70th percentile deterioration factors calculated using the industry-wide data base of previously completed durability data vehicles or engines used for certification. However, the manufacturer may, at its option, accumulate miles (hours) on a durability data vehicle (engine) and complete emission tests for the purpose of establishing its own deterioration factors.

(2)(i) Manufacturers with aggregated sales from and including 301 through 9,999 motor vehicles and motor vehicle engines per year certifying light-duty vehicle exhaust emissions from vehicles equipped with proven emission control systems shall use assigned deterioration factors that the manufacturer determines based on its good engineering judgment. However, the manufacturer may not use deterioration factors less than either the average or 70th percentile of all of that manufacturer's deterioration factor data, whichever is less. These minimum deterioration factors shall be calculated according to procedures in paragraph (c)(7)(i)(C)(2)(ii), of this section. If the

manufacturer does not have at least two data points to calculate these manufacturer specific average deterioration factors, then the deterioration factors shall be no less than the EPA supplied industry-wide deterioration factors. However, the manufacturer may, at its option, accumulate miles on a durability data vehicle and complete emission tests for the purpose of establishing its own deterioration factors.

(ii) The manufacturer's minimum deterioration factors shall be calculated using the deterioration factors from all engine families, within the same vehicle/engine-fuel usage category (e.g., gasoline-fueled light-duty vehicle, etc.) previously certified to the same emission standards. The manufacturer shall use only deterioration factors from engine families previously certified by the manufacturer and the deterioration factors shall not be included in the calculation more than once. The deterioration factors for each pollutant shall be calculated separately. The manufacturer may, at its option, limit the deterioration factors used in the calculation of the manufacturer's minimum deterioration factors to those from all similar systems to the system being certified if sufficient data (i.e., from at least two certified systems) exists. All data eligible to be grouped as similar system data shall be used in calculating similar system deterioration factors. Any deterioration factors used in calculating similar system deterioration factors shall not be included in calculating the manufacturer's minimum deterioration factors used to certify any of the manufacturer's remaining vehicle systems.

(3) Manufacturers with aggregated sales from 301 through 9,999 motor vehicles and motor vehicle engines and certifying light-duty vehicle exhaust emissions from vehicles equipped with unproven emission control systems shall use deterioration factors that the manufacturer determines from official certification durability data generated by vehicles from engine families representing a minimum of 25 percent of the manufacturer's sales equipped with unproven emission control systems. The sales projections are to be based on total sales projected for each engine/

## Environmental Protection Agency

## § 86.094-14

system combination. The durability programs applicable to such manufacturers for this purpose shall be the Standard AMA, the Production AMA and the Alternative Service Accumulation Durability Programs of § 86.094-13. The durability data vehicle (engine) mileage accumulation and emission tests are to be conducted in accordance with § 86.094-13. The manufacturer must develop deterioration factors by generating durability data in accordance with § 86.094-13 on a minimum of 25 percent of the manufacturer's projected sales (by engine/system combination) that is equipped with unproven emission control systems. The manufacturer must complete the 25 percent durability requirement before the remainder of the manufacturer's sales equipped with unproven emission control systems is certified using manufacturer-determined assigned deterioration factors. Alternatively, any of these manufacturers may, at their option, accumulate miles on durability data vehicles and complete emission tests for the purpose of establishing their own deterioration factors on the remaining sales.

(ii) Section 86.094-24(d) and (e) are not applicable.

(8) Section 86.094-25 is applicable to maintenance performed on durability data light-duty vehicles, light-duty trucks, heavy-duty vehicles, and heavy-duty engines when the manufacturer completes durability data vehicles or engines; § 86.087-38 is applicable to the recommended maintenance the manufacturer includes in the maintenance instructions furnished the purchasers of new motor vehicles and new motor vehicle engines under § 86.087-38.

(9)(i) Section 86.094-26 is applicable if the manufacturer completes durability data vehicles or engines.

(ii) Section 86.090-27 is applicable.

(10) Sections 86.094-28 and 86.091-29 are applicable.

(11)(i) Section 86.094-30 is applicable, except for § 86.094-30 (a)(2) and (b). In the place of § 86.094-30 (a)(2) and (b), small-volume manufacturers shall comply with paragraphs (c)(11) (ii) through (v) of this section.

(ii) Small-volume manufacturers shall submit an application for certification containing the elements con-

tained in paragraphs (c)(11)(ii) (A) through (E) of this section.

(A) The names, addresses, and telephone numbers of the persons the manufacturer authorizes to communicate with us.

(B) A brief description of the vehicles (or engines) covered by the certificate (the manufacturers' sales data book or advertising, including specifications, may satisfy this requirement for most manufacturers). The description shall include, as a minimum, the items listed in paragraphs (c)(11)(ii)(B) (1) through (18) of this section as applicable.

(1) [Reserved]

(2) Vehicle carlines or engine models to be listed on the certificate of conformity.

(3) The test weight and horsepower setting for each vehicle or engine configuration.

(4) Projected sales.

(5) Combustion cycle.

(6) Cooling mechanism.

(7) Number of cylinders.

(8) Displacement.

(9) Fuel system type.

(10) Number of catalytic converters, type, volume, composition, surface area, and total precious metal loading.

(11) Method of air aspiration.

(12) Thermal reactor characteristics.

(13) Suppliers' and/or manufacturers' name and model number of any emission related items of the above, if purchased from a supplier who uses the items in its own certified vehicles(s) or engine(s).

(14) A list of emission component part numbers.

(15) Drawings, calibration curves, and descriptions of emission related components, including those components regulated under § 86.085-22(e), and schematics of hoses and other devices connecting these components.

(C) [Reserved]

(D)(1)-(6) [Reserved]

(7) A statement affirming that the manufacturer will provide a list of emission and emission-related service parts, including part number designations and sources of parts, to the vehicle purchaser for all emission and emission-related parts which might affect vehicle emission performance

throughout the useful life of the vehicle. Secondly, it must state that qualified service facilities and emission-related repair parts will be conveniently available to serve its vehicles. In addition, if service facilities are not available at the point of sale or distribution, the manufacturer must indicate that the vehicle purchaser will be provided information identifying the closest authorized service facility to the point of sale, if in the United States, or the closest authorized service facility to the point of distribution to the ultimate purchaser if the vehicle was purchased outside of the United States by the ultimate purchaser. Such information should also be made available to the Administrator upon request.

(E) Manufacturers utilizing deterioration factors determined by the manufacturer based on its good engineering judgment (reference paragraph (c)(7)(i)(C)(2) of this section) shall provide a description of the method(s) used by the manufacturer to determine the deterioration factors.

(iii) If the manufacturer meets the requirements of this subpart, the Administrator will issue a certificate of conformity for the vehicles or engines described in the application for certification.

(iv) The certificate will be issued for such a period not to exceed one model year as the Administrator may determine and upon such terms as he may deem necessary to assure that any vehicle or engine covered by the certificate will meet the requirements of the Act and of this subpart.

(v)(A) If, after a review of the statements and descriptions submitted by the manufacturer, the Administrator determines that the manufacturer has not met the applicable requirements, the Administrator shall notify the manufacturer in writing of his intention to deny certification, setting forth the basis for his determination. The manufacturer may request a hearing on the Administrator's determination.

(B) If the manufacturer does not request a hearing or present the required information, the Administrator will deny certification.

(12) Sections 86.079–31 and 86.079–32 are not applicable.

(13) Under § 86.079–33, small-volume manufacturers are covered by paragraphs (c)(13) (i) and (ii) of this section.

(i) Small-volume manufacturers may make production changes (running changes) without receiving the Administrator's prior approval. The manufacturer shall assure (by conducting emission tests as it deems necessary) that the affected vehicles (engines) remain in compliance with the requirements of this part.

(ii) The manufacturer shall notify the Administrator within seven days after implementing any production related change (running change) that would affect vehicle emissions. This notification shall include any changes to the information required under paragraph (c)(11)(ii) of this section. The manufacturer shall also amend as necessary its records required under paragraph (c)(4) of this section to confirm with the production design change.

(14) Section 86.082–34 is not applicable.

(15) Sections 86.094–35, 86.079–36, 86.085–37, 86.087–38 and 86.079–39 are applicable.

[58 FR 4006, Jan. 12, 1993, as amended at 61 FR 127, Jan. 3, 1996; 75 FR 22978, Apr. 30, 2010; 79 FR 23691, Apr. 28, 2014]

#### § 86.094–21 Application for certification.

(a) A separate application for a certificate of conformity shall be made for each set of standards (or family emission limits, as appropriate) and each class of new motor vehicles or new motor vehicle engines. Such application shall be made to the Administrator by the manufacturer and shall be updated and corrected by amendment.

(b) The application shall be in writing, signed by an authorized representative of the manufacturer, and shall include the following:

(1)(i) Identification and description of the vehicles (or engines) covered by the application and a description of their engine (vehicles only), emission control system, and fuel system components. This description will include:

(A) A detailed description of each Auxiliary Emission Control Device